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UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

UNITED STATES SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

- against -

ALPINE SECURITIES CORPORATION,

Defendant.

17-cv-4179-DLC

**NOTICE OF MOTION FOR
SUMMARY JUDGMENT ON
LIABILITY**

ECF CASE

Please take notice that, pursuant to Fed. R. Civ. P. 56, Plaintiff United States Securities and Exchange Commission (the “Commission”) moves this Court for summary judgment that Defendant Alpine Securities Corporation (“Alpine”) violated Section 17(a) of the Securities Exchange Act and Rule 17a-8 thereunder based on each of the following violations presented in the Commission’s memorandum of law, which include: (a) 1,594 deficient suspicious activity reports (“SARs”); (b) 3,568 unreported liquidations; (c) 251 late filed SARs; and (d) 496 instances of missing supporting documentation for SARs. For the reasons stated in the accompanying memorandum of law, the Commission respectfully requests the Court enter summary judgment finding Defendant liable for these violations.

Dated: July 13, 2018

/s/ Terry R. Miller

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CERTIFICATE OF SERVICE

I certify that on July 13, 2018, a copy of the foregoing document was served via ECF upon the following:

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